

12-26-01

A



**PATENT APPLICATION**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Attorney Docket No. 12329US02

**PATENT APPLICATION TRANSMITTAL**



**Box Patent Application**  
**Assistant Commissioner for Patents**  
**Washington, D.C. 20231**

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): **Roger Bernards, Hector Gonzalez, Al Kucera And Mike Schanhaar**

Title: **METHOD FOR ROUGHENING COPPER SURFACES FOR BONDING TO SUBSTRATES**

**1. Type of Application**

This new application is for a:      This application is a:

- |   |  |
|---|--|
| <input checked="" type="checkbox"/> utility patent. | <input type="checkbox"/> continuation  |
| <input type="checkbox"/> design patent.             | <input checked="" type="checkbox"/> divisional of prior application Serial No. 09/479,089, Filed January 7, 2000 |
|   | <input type="checkbox"/> continuation-in-part (CIP)  |

**2. Application Papers Enclosed**

- \_\_\_ Title Page
- 19 Pages of Specification (excluding Claims, Abstract & Drawings)
- 6 Page(s) of Claims
- 1 Page(s) of Abstract
- 3 Sheet(s) of Drawings (Figs. 1 to 5)
  - ☒ Formal
  - ☐ Informal

### 3. Declaration or Oath

☒ Enclosed

Executed by (check all applicable boxes)

- ☒ Inventor(s) (copy of declaration from prior application)
- ☐ Legal representative of inventor(s)  
(37 CFR 1.42 or 1.43)
- ☐ Joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached
  - ☐ The petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 are enclosed. See Item 5D below for fee.
- ☐ Not enclosed - the undersigned attorney or agent is authorized to file this application on behalf of the applicant(s). An executed declaration will follow.

### 4. Additional Papers Enclosed

- ☒ Preliminary Remarks
- ☐ Information Disclosure Statement, including copies of cited references
- ☐ Declaration of Biological Deposit
- ☐ Computer readable copy of sequence listing containing nucleotide and/or amino acid sequence
- ☐ Verified statement(s) claiming small entity status under 37 CFR 1.9 and 1.27
- ☐ Associate Power of Attorney
- ☐ Verified translation of a non-English patent application
- ☐ An assignment of the invention
- ☐ Certified copy of application:

COUNTRY	APPLICATION NO.	FILED

☐ Other

5. Filing Fee Calculation (37 CFR 1.16)

A. ☒ Utility Application

CLAIMS AS FILED – INCLUDING PRELIMINARY AMENDMENT (IF ANY)						
			SMALL ENTITY		OTHER THAN A SMALL ENTITY	
	NO. FILED	NO. EXTRA	RATE	FEE	RATE	FEE
BASIC FEE				\$355.00		\$710.00
TOTAL	20 - 20	= 0	X 9 =	\$	X 18 =	\$0.00
INDEP.	3 - 3	= 0	X 40 =	\$	X 80 =	\$0.00
<input type="checkbox"/> First Presentation of Multiple Dependent Claim			+ 135 =	\$	+ 270 =	\$0.00
Filing Fee:				\$	OR	\$710.00

B. ☐ Design Application (\$155.00/\$310.00) Filing Fee: \$ \_\_\_\_\_

C. ☐ Plant Application (\$240.00/\$480.00) Filing Fee: \$ \_\_\_\_\_

D. Other Fees

☐ Recording Assignment [Fee -- \$40.00 per assignment] \$ \_\_\_\_\_

☐ Petition fee for filing by other than all the inventors  
or person on behalf of the inventor where inventor refused  
to sign or cannot be reached [Fee -- \$130.00] \$ \_\_\_\_\_

☐ Other \$ \_\_\_\_\_

**Total Fees Enclosed** \$710.00

**6. Method of Payment of Fees**

- ☒ Enclosed check in the amount of: \$710.00  
☐ Charge Deposit Account No. 13-0017 in the amount of: \$ \_\_\_\_\_  
☐ Not enclosed

**7. Deposit Account and Refund Authorization**

The Commissioner is hereby authorized to charge any deficiency in the amount enclosed or any additional fees which may be required during the pendency of this application under 37 CFR 1.16 or 37 CFR 1.17 or under other applicable rules (except payment of issue fees), to Deposit Account No. 13-0017. A copy of this Transmittal is enclosed.

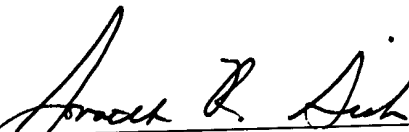
Please refund any overpayment to Deposit Account No. 13-0017.

Please direct all future communications to Jonathan R. Sick at the address below.

McAndrews, Held & Malloy, Ltd.  
500 West Madison Street, 34th Floor  
Chicago, Illinois 60661

Please direct all telephone calls to Jonathan R. Sick at (312) 775-8000.  
Please direct all facsimile transmissions to Jonathan R. Sick at (312) 775-8100.  
Please direct all e-mail transmissions to jsick@mhmlaw.com.

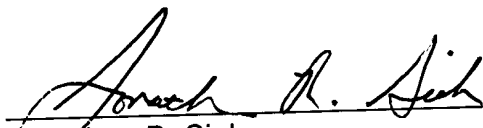
Respectfully submitted,

By:   
Jonathan R. Sick  
Registration No. 43,920

Date: December 18, 2001

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this Patent Application Transmittal and the documents referred to as enclosed therewith are being deposited with the United States Postal Service on **December 18, 2001**, in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing Label No. EL567274190US.

  
Jonathan R. Sick

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
Docket No. 12329US02

**In the Application of:**

ROGER BERNARDS, HECTOR  
GONZALEZ, AL KUCERA and  
MIKE SCHANHAAR

**U.S. Serial No.:** \_\_\_\_\_

(Continuation of U.S.  
Serial No. 09/479,089)

**Filed:** December 18, 2001

**For:** METHOD FOR ROUGHENING  
COPPER SURFACES FOR  
BONDING TO SUBSTRATES

**Examiner:**

**Group Art Unit:**

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service on December 18, 2001, in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing Label No. EL567274190US.

By: \_\_\_\_\_

Jonathan R. Sick  
Reg. No. 43,920

**PRELIMINARY REMARKS**

Assistant Commissioner for Patents  
Washington, D.C. 20231

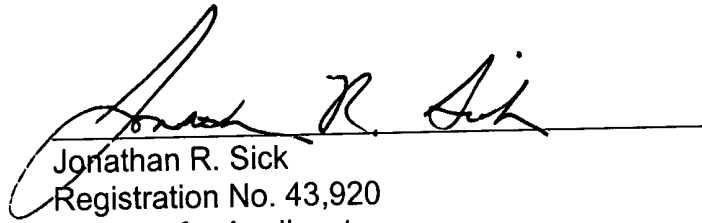
Sir:

The present application is a Divisional of application Serial No. 09/479,089, filed January 7, 2000. Claims 1-20 are the only claims pending in the present application.

Applicants identify U.S. Patent No. 6,162,503 to Ferrier, filed March 23, 1999 and issued December 19, 2000 ("Ferrier '503") in order to comply with the requirements of 37 C.F.R. § 1.607(c). Claims identified by Applicants under 37 C.F.R. § 1.607(c) include the following: claims 1-3, 5-6, and 10-12 of Ferrier.

Respectfully submitted,

Dated: December 18, 2001

  
Jonathan R. Sick  
Registration No. 43,920  
Attorney for Applicants

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